

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: **Braun et al.**

Serial No.: 09/687,483

Filed: October 13, 2000

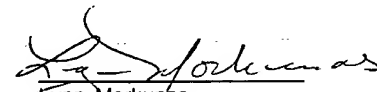
For: **METHODS FOR GENERATING
DATABASES AND DATABASES FOR
IDENTIFYING POLYMORPHIC GENETIC
MARKERS**

Art Unit: 1645



I hereby certify that this paper and the attached papers are being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Commissioner for Patents
Box Missing Parts
Washington, D.C. 20231, on this date.

03/06/2001
Date


Lynn Morkunas

RESPONSE TO NOTICE TO FILE MISSING PARTS

Commissioner for Patents
Box Missing Parts
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts mailed **January 31, 2001**, the following documents are submitted herewith:

- 1) A copy of the Notice to File Missing Parts;
- 2) Eight (8) Executed Declarations for Patent Application;
- 3) Eight (8) Assignments from the inventors to **SEQUENOM, INC.** along with a Recordation Form Cover Sheet;
- 4) Response to Notice to File Missing Parts to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures; Sequence Listing (110 Pgs.); and a copy of the "Sequence Listing" in computer readable form as required under 37 CFR 1.821(e) (diskette);

U.S.S.N. 09/687,483

Braun et al.

RESPONSE TO NOTICE TO FILE MISSING PARTS

- 5) A check in the amount of \$105 which includes the \$65 small entity surcharge, and \$40 assignment recordation fee;
- 6) A Request for Corrected Filing Receipt with a copy of the Filing Receipt with the changes noted thereon; and
- 7) Return Postcard.

Since an executed Small Entity Status (37 C.F.R. §§1.9(f)) is claimed the fees have been reduced to one-half.

- ☒ The Commissioner is hereby authorized to charge any fee, including any submitted herewith if the attached check(s) is in the wrong amount or otherwise improper or missing, that may be due in connection with this and the attached papers, or with this application during its entire pendency to or to credit any overpayment to Deposit Account No. 50-1213. A duplicate of this sheet is enclosed.

Respectfully submitted,
HELLER EHRMAN WHITE & McAULIFFE LLP

By: _____


Stephanie Seidman
Registration No. 33,779

Attorney Docket 24736-2033

Address all correspondence to:

HELLER EHRMAN WHITE & McAULIFFE LLP

4250 Executive Square, 7th Floor

La Jolla, California 92037

Telephone: (858) 450-8400

Facsimile: (858) 587-5360

E-mail: sseidman@HEWM.com

#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Braun *et al.*
Serial No.: 09/687,483
Filed: October 13, 2000
For: **METHODS FOR GENERATING DATABASES
AND DATABASES FOR IDENTIFYING
POLYMORPHIC GENETIC MARKERS**
Art Unit: 1645
Examiner: Unassigned

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Lynn Morkunas



**RESPONSE TO NOTICE TO FILE MISSING PARTS TO COMPLY WITH
REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE
SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Responsive to the Notice to file missing parts mailed on January 31, 2001, transmitted herewith is a replacement copy of the sequence listing (paper and computer readable copies) for the above-entitled patent application and a verified statement concerning the prepared sequence listing.

Both paper and computer-readable copies of the sequence listing were submitted with the application as originally filed. However, the original computer-readable form of the sequence has been lost or otherwise cannot be found. The content of the enclosed replacement copy is identical to that of the sequence listing submitted on October 13, 2000. No new matter has been added.

It is respectfully submitted that no fee should be due since these are replacement copies of items which were sent with the application as originally filed. If it is, however, determined that a fee is due, any fees that may be due in connection with filing this sequence listing may be charged to Deposit Account No. 50-1213.

USSN 09/687,483

Braun *et al.*

RESPONSE TO NOTICE TO FILE MISSING PARTS

- ☒ The Commissioner is hereby authorized to charge any fee that may be due in connection with this and the attached papers, or with this application during its entire pendency to or to credit any overpayment to Deposit Account No. 50-1213. A duplicate of this sheet is enclosed.

Applicant respectfully requests that the Examiner review the foregoing sequence listing and make it of record in the file history of the above-identified application.

* * *

Respectfully submitted,
HELLER, EHRMAN, WHITE & McAULIFFE LLP

By: 
Stephanie L. Seidman
Registration No. 33,779

Attorney Docket No.: 24736-2033

Address all correspondence to:

Stephanie Seidman, Esq.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: **Braun et al.**

Serial No.: 09/687,483

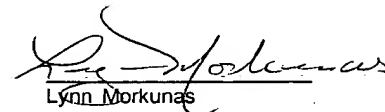
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For: **METHODS FOR GENERATING
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Washington, D.C. 20231, on this date.

03/06/01
Date


Lynn Morkunas



REQUEST FOR CORRECTED FILING RECEIPT

Commissioner for Patents
Washington, D.C. 20231

Sir:

Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.

Under **APPLICANT(S)**, please insert the following corrected information:

Andreas BRAUN, San Diego, California
Hubert KÖSTER, La Jolla, California
Dirk VAN DEN BOOM, Hamburg, Germany
Yip PING, San Diego, California
Charlie RODI, Del Mar, California
Livan HE, San Diego, California
Norman CHIU, San Diego, California
Christian JURINKE, Hamburg, Germany

U.S.S.N. 09/687,483

Braun et al.

REQUEST FOR CORRECTED FILING RECEIPT

Applicants submit that the above-indicated error is an error made on the part of the Office, rather than by Applicants, and respectfully request that this error be corrected and Applicants be provided a corrected filing receipt.

- ☒ The Commissioner is hereby authorized to charge any fee, including any submitted herewith if the attached check(s) is in the wrong amount or otherwise improper or missing, that may be due in connection with this and the attached papers, or with this application during its entire pendency to or to credit any overpayment to Deposit Account No. 50-1213. A duplicate of this sheet is enclosed.

Respectfully submitted,
HELLER EHRMAN WHITE & McAULIFFE LLP

By:


Stephanie Seidman
Registration No. 33,779

SLS/lm

Attorney Docket 24736-2033

Address all correspondence to:

HELLER EHRMAN WHITE & McAULIFFE LLP

4250 Executive Square, 7th Floor

La Jolla, California 92037

Telephone: (858) 450-8400

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FEB 06 2001



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/687,483	10/13/2000	1645	1555	24736-2033	49	100	15

Stephanie Seidman
Heller Ehrman White & McAuliffe LLP
4250 Executive Square 7th Floor
La Jolla, CA 92037

FILING RECEIPT



OC000000005722089



Date Mailed: 01/31/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) *SEE BELOW; RIGHT HAND CORNER*
~~Andreas Braun, Residence, XPX,~~

Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/217,658 07/10/2000
WHICH CLAIMS BENEFIT OF 60/159,176 10/13/1999
WHICH CLAIMS BENEFIT OF 60/217,251 07/10/2000
WHICH IS A CIP OF 09/663,968 09/19/2000

Foreign Applications

If Required, Foreign Filing License Granted 01/31/2001

** SMALL ENTITY **

Title

Method for generating databases and databases for identifying polymorphic genetic markers

Preliminary Class

435

Under APPLICANT(S),

Andreas BRAUN, San Diego, California
Hubert KÖSTER, La Jolla, California
Dirk VAN DEN BOOM, Hamburg, Germany
Yip PING, San Diego, California
Charlie RODI, Del Mar, California
Livan HE, San Diego, California
Norman CHIU, San Diego, California
Christian JURINKE, Hamburg, Germany

Data entry by : GARNETT, SANDRA

Team : OIPE

Date: 01/31/2001



LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/687,483	10/13/2000	Andreas Braun	24736-2033

Stephanie Seidman
Heller Ehrman White & McAuliffe LLP
4250 Executive Square 7th Floor
La Jolla, CA 92037



FORMALITIES LETTER



OC000000005722090

Date Mailed: 01/31/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason(s):
 - A copy of the "Sequence Listing" in computer readable form has not been submitted as required under 37 CFR 1.821(e).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-1123
- For CRF Submission Help, call (703) 308-4212
- PatentIn Software Program Support
- - For Technical Assistance, call (703) 287-0200
- - To Purchase PatentIn Software, call (703) 306-2600

- The balance due by applicant is \$ 65.

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1/31/01

03/12/2001 HVUONG1 00000107 09687483

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65.00 OP

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY